

EXPRESS MAIL NO. EE388127934US

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of	:	Group Art Unit: Unknown
Carlo M. Croce, et al.	:	Examiner: Unknown
Serial No.: Not Yet Assigned	:	Attorney Docket
	:	CRO01.NP003
Filed: Herewith	:	



For: TCL-1b GENE AND PROTEIN AND RELATED METHODS AND COMPOSITIONS

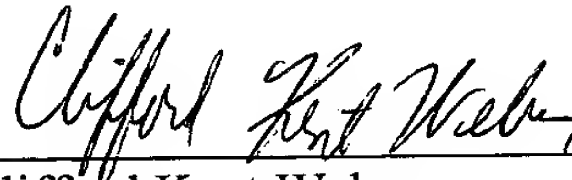
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

**STATEMENT TO SUPPORT FILING AND SUBMISSION  
IN ACCORDANCE WITH 37 CFR §§ 1.821 THROUGH 1.825.**

- (X) I hereby state, in accordance with the requirements of 37 C.F.R. §1.821(f), that the contents of the paper and computer readable copies of the Sequence Listing, submitted in accordance with 37 C.F.R. §1.821(c) and (e), respectively are the same.
- ( ) I hereby state that the submission filed in accordance with 37 C.F.R. §1.821(g) does not include new matter.
- ( ) I hereby state that the submission filed in accordance with 37 C.F.R. §1.821(h) does not include new matter or go beyond the disclosure in the international application as filed.
- ( ) I hereby state that the amendments, made in accordance with 37 C.F.R. §1.825(a), included in the initial/substitute sheet(s) of the Sequence Listing are supported in the application, as filed, at pages \_\_\_\_\_. I hereby state that the substitute sheet(s) of the Sequence Listing does(do) not include new matter.
- ( ) I hereby state that the substitute copy of the computer readable form, submitted in accordance with 37 C.F.R. §1.825(b), is the same as the amended Sequence Listing.
- ( ) I hereby state that the substitute copy of the computer readable form, submitted in accordance with 37 C.F.R. §1.825(d), contains identical data to that originally filed.

Respectfully submitted,



Clifford Kent Weber

Registration No. 42,215

Attorney for Applicant

THOMAS JEFFERSON UNIVERSITY

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Philadelphia, PA 19107-5587

Telephone: (215-923-3613)

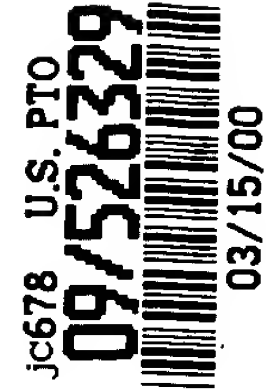
Facsimile: (215-503-0757)

Date: 3/15/2000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NO.: CRO01.NP003

TITLE: TCL-1b GENE AND PROTEIN AND  
RELATED METHODS AND  
COMPOSITIONS



INVENTOR(S): CROCE, Carlo M.  
PEKARSKY, Yuri

"Express Mail" Label No. EE 388 127 934 US  
Date of Deposit - March 15, 2000

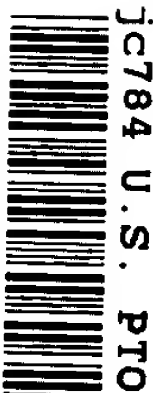
I hereby certify that this paper is being deposited with  
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Patents and Trademarks, Box Patent Application, Washington, D.C. 20231.

By Clifford Kent Weber

Typed Name: CLIFFORD KENT WEBER

Box Patent Application  
Commissioner of Patents & Trademarks  
Washington, DC 20231

03/15/00



jc784 U.S. PTO

03-16-00

At. Box  
leg.Please type a plus sign (+) inside this box → ☒PTO/SB/05 (4/98)  
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<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> (Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))	Attorney Docket No.	CRO01.NP003
	First Inventor or Application Identifier	Carlo M. Croce
	Title	TCL-1b Gene and Protein and Related Methods and Compositions
	Express Mail Label No.	EE 388 127 934 US

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents.	<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
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- |   |  |
|---|--|
| <p>1. <input checked="" type="checkbox"/> * Fee Transmittal Form (e.g., PTO/SB/17)<br/>(Submit an original and a duplicate for fee processing)</p> <p>2. <input checked="" type="checkbox"/> Specification [Total Pages <b>81</b>]<br/>(preferred arrangement set forth below)</p> <ul style="list-style-type: none"><li>- Descriptive title of the Invention</li><li>- Cross References to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to Microfiche Appendix</li><li>- Background of the Invention</li><li>- Brief Summary of the Invention</li><li>- Brief Description of the Drawings (if filed)</li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul> <p>3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <b>4</b>]</p> <p>4. Oath or Declaration [Total Pages <b>1</b>]</p> <ul style="list-style-type: none"><li>a. <input type="checkbox"/> Newly executed (original or copy)</li><li>b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d))<br/>(for continuation/divisional with Box 16 completed)</li><li>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b><br/>Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).</li></ul> | <p>5. <input type="checkbox"/> Microfiche Computer Program (Appendix)</p> <p>6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)</p> <ul style="list-style-type: none"><li>a. <input checked="" type="checkbox"/> Computer Readable Copy</li><li>b. <input checked="" type="checkbox"/> Paper Copy (identical to computer copy)</li><li>c. <input checked="" type="checkbox"/> Statement verifying identity of above copies</li></ul> |
|---|--|

\* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

- |   |   |
|---|---|
| <b>ACCOMPANYING APPLICATION PARTS</b>   |   |
| 7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))                                       |   |
| 8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement (when there is an assignee)                           | <input checked="" type="checkbox"/> Power of Attorney   |
| 9. <input type="checkbox"/> English Translation Document (if applicable)  |   |
| 10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449                                    | <input type="checkbox"/> Copies of IDS Citations  |
| 11. <input type="checkbox"/> Preliminary Amendment  |   |
| 12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br>(Should be specifically itemized) |   |
| 13. <input type="checkbox"/> * Small Entity Statement(s) (PTO/SB/09-12)   | <input checked="" type="checkbox"/> Statement filed in prior application, Status still proper and desired |
| 14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)            |   |
| 15. <input checked="" type="checkbox"/> Other:  | Certificate of Express Mailing<br>Fee Calculation Sheet   |

16. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:
- ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_
- Prior application information: Examiner \_\_\_\_\_ Group / Art Unit: \_\_\_\_\_
- For **CONTINUATION** or **DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

<b>17. CORRESPONDENCE ADDRESS</b>					
<input type="checkbox"/> Customer Number or Bar Code Label			or <input checked="" type="checkbox"/> Correspondence address below		
(Insert Customer No. or Attach bar code label here)					
Name	Clifford Kent Weber, Esq.				
Address	Thomas Jefferson University - Office of University Counsel 1020 Walnut Street - Suite 620				
City	Philadelphia	State	PA	Zip Code	19107-5587
Country	Philadelphia	Telephone	(215) 503-0757	Fax	(215) 923-3613

Name (Print/Type)	Clifford Kent Weber	Registration No. (Attorney/Agent)	42,215
Signature	<i>Clifford Kent Weber</i>	Date	3/15/2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$ 3,624.00

## Complete if Known

Application Number Not Known  
Filing Date March 15, 2000  
First Named Inventor Carlo M. Croce  
Examiner Name  
Group / Art Unit  
Attorney Docket No. CRO01.NP003

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 50-0491

Deposit Account Name Thomas Jefferson University

☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 690	201 345	Utility filing fee	345.00
106 310	206 155	Design filing fee	
107 480	207 240	Plant filing fee	
108 690	208 345	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$ 345.00

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
94	-20** = 74	X 9.00	= 666.00
Independent Claims 60	-3** = 57	X 39.00	= 2223.00
Multiple Dependent	3		= 390.00

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 78	202 39	Independent claims in excess of 3
104 260	204 130	Multiple dependent claim, if not paid
109 78	209 39	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 3,279.00

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 380	216 190	Extension for reply within second month	
117 870	217 435	Extension for reply within third month	
118 1,360	218 680	Extension for reply within fourth month	
128 1,850	228 925	Extension for reply within fifth month	
119 300	219 150	Notice of Appeal	
120 300	220 150	Filing a brief in support of an appeal	
121 260	221 130	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,210	241 605	Petition to revive - unintentional	
142 1,210	242 605	Utility issue fee (or reissue)	
143 430	243 215	Design issue fee	
144 580	244 290	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 690	246 345	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 690	249 345	For each additional invention to be examined (37 CFR § 1.129(b))	

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$

## SUBMITTED BY

Name (Print/Type) Clifford Kent Weber

Registration No. (Attorney/Agent) 42,215

## Complete (if applicable)

Telephone (215) 503-0757

Signature

Clifford Kent Weber

Date

3/15/2000

## WARNING:

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